




## DEPARTMENT OF MENTAL HEALTH POLICY/PROCEDURE

SUBJECT <b>MENTAL HEALTH PLAN CLAIM CERTIFICATION</b>	POLICY NO. <b>801.08</b>	EFFECTIVE DATE <b>06/01/2005</b>	PAGE <b>1 of 5</b>
APPROVED BY:  Director	SUPERSEDES <b>401.10 06/01/2005</b>	ORIGINAL ISSUE DATE	DISTRIBUTION LEVEL(S) <b>1</b>

### PURPOSE

- 1.1 To provide guidelines to certify that all claims for mental health services submitted for reimbursement under various funding programs are accurate, complete, truthful, and are in compliance with applicable statutory, regulatory, and policy requirements, and, as appropriate, are reasonable and medically necessary based upon program expectations.

### POLICY

- 2.1 The Director of the Department of Mental Health (DMH), or his/her designee, shall certify to the best of his/her knowledge and belief, that all claims submitted for reimbursement under Short-Doyle/Medi-Cal (SD/MC) are accurate, complete, truthful, and are in compliance with applicable statutory, regulatory, and policy requirements, and, as appropriate, are reasonable and medically necessary.
  - 2.1.1 A Mental Health Claim Certification form (MH1982A - Attachment I) shall be submitted by DMH to the State of California concurrent with the submission of any claim for SD/MC reimbursement.
  - 2.1.2 The Director's certification shall be based on signed certifications for compliant services completed by clinical service providers, supervisors, and managers consistent with the implementation of this policy.
- 2.2 The Director of Financial Services for DMH shall certify that there are sufficient eligible funds available to satisfy the various program instructions for required matching funds.
- 2.3 All DMH Program Managers who submit or oversee the submission of claims for reimbursement under various funding programs shall be responsible to certify to the best of their knowledge and belief that all claims submitted for reimbursement programs are accurate, complete, truthful, and are in compliance with applicable statutory, regulatory, and policy requirements, and, as appropriate, are reasonable and medically necessary.



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- 2.3.1 DMH Program Managers shall complete a Mental Health Plan Claim Certification for Program Managers form.
- 2.3.2 The specific mechanisms chosen by Program Managers to ensure program compliance will be at the discretion of the Program Manager.
- 2.3.3 District Chiefs shall approve the Program Managers' certification form for those Program Managers who report to them.
- 2.3.4 Deputy Directors shall approve the Program Managers' certification form for those Program Managers who report to them.
- 2.4 All DMH employees who provide mental health services that are reimbursable under various funding programs shall certify to the best of their knowledge and belief that all services rendered by them, and subsequently submitted for reimbursement, are accurate, complete, truthful, and are in compliance with applicable statutory, regulatory, and policy requirements, and, as appropriate, are reasonable and medically necessary. Applicable elements of DMH services must include the following:
  - 2.4.1 An assessment of the beneficiary was conducted in compliance with the requirements established in the Mental Health Plan (MHP) contract with the State Department of Mental Health.
  - 2.4.2 The beneficiary was eligible to receive services at the time the services were provided to the beneficiary.
  - 2.4.3 The services included in the claim were provided to the beneficiary and documented in accordance with applicable requirements.
  - 2.4.4 Medical necessity, or other criteria for program participation, was established for the beneficiary for the timeframe in which the services were provided.
  - 2.4.5 A Client Care Plan was developed and maintained for the beneficiary that met all Client Care Plan requirements in accordance with the clinical documentation policies and procedures (401.02, 401.03 and 401.04).
  - 2.4.6 All payment authorization requirements were fulfilled.



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- 2.5 District Chiefs and Deputy Directors shall be responsible to monitor compliance with this policy and procedure and to ensure that appropriate mechanisms have been instituted and maintained at the program level to ensure monitoring and compliance with all applicable statutory, regulatory, and policy requirements.
- 2.6 DMH employees are responsible to notify their immediate manager in any situation/event in which reason exists to believe that any elements of compliance with applicable statutes, regulations, or program instructions are not being fulfilled.
- 2.6.1 DMH employees may provide notification to higher level managers, following the principles of chain-of-command, in instances where their immediate manager is either inaccessible or, in the employee's best judgment, would not be the appropriate individual for purposes of reporting.
- 2.6.1.1 In the event notification of this nature occurs, management shall follow their reporting chain-of-command, up to and including notification to the Director or his/her designee.
- 2.6.1.2 In the event an employee feels the need for anonymity, notification of the situation/event may be made via the County's Fraud Hotline or a direct call to the DMH Compliance Program Office.

### **PROCEDURE**

- 3.1 DMH shall submit a Mental Health Claim Certification form MH1982A to the State Department of Mental Health with each submission of claims for reimbursement under the SD/MC program. Assurance of compliance will be obtained through this mechanism.
- 3.1.1 The Director or his/her designee shall sign the Mental Health Certification form based on attestations from managers and staff confirming that the services were performed in compliance with all applicable statutes, regulations, and/or policy requirements.
- 3.1.1.1 Each employee shall certify with their name on the Daily Service Log or Group Service Log (Attachments II and III) that they provided the claimed mental health services in a manner consistent with the treatment plan for each client and that, to the best of their knowledge and belief, the claims are accurate,



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complete, truthful, and supported by documentation recorded for those services. If the services are to be claimed to Medicare and/or SD/MC, the employee shall further certify that the services were reasonable and medically necessary.

- 3.1.1.2 Program Managers shall submit a certification that services performed by their respective employees are in compliance with MHP claiming rules and regulations to the Director or his/her designee on a monthly basis by completing the MHP Claim Certification for Program Managers form (Attachment IV). This attestation will confirm that all claims submitted by the respective program to the Integrated System are fully compliant with this policy and applicable statutory, regulatory, or other policy requirements.
- 3.1.2 Upon completion of the Program Manager certification form, the Program Manager shall forward it to his/her respective District Chief for signature.
- 3.1.3 The respective District Chief shall sign the MHP Claim Certification for Program Managers form on a monthly basis to certify to the best of his/her knowledge and belief that there are processes in place for the referenced program designed to monitor and ensure compliance with SD/MC claiming requirements.
- 3.1.4 Upon completion of the form, the District Chief shall forward it to his/her respective Deputy Director for signature.
- 3.1.5 The respective Deputy Director shall sign the MHP Claim Certification for Program Managers on a monthly basis to certify, to the best of his/her knowledge and belief that there are processes in place for the referenced program designed to monitor and ensure compliance with SD/MC claiming requirements.
- 3.1.6 Upon completion of the form, the Deputy Director shall forward it to the Director.
- 3.2 DMH employees providing mental health services shall submit a completed Service Log to their Program Manager on a daily basis.



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3.3 The security of Protected Health Information (PHI) shall be maintained in compliance with applicable policies specified under Health Insurance Portability and Accountability Act (HIPAA) and as documented in the Policy Manual under Section 500.

3.3.1 The Service Logs contain PHI and shall be maintained in a secure location consistent with the parameters specified in the "Complete Guide to Financial Screening, Financial Services Bureau, July 2000" for Financial Record Retention and DMH Policy 508.01 "Safeguards for Protected Health Information", or per updates of same.

3.4 DMH programs and employees who use NCR Progress Notes and/or Medication Notes to facilitate entry of data for purposes of reimbursement shall ensure that they utilize the appropriate NCR form that contains the required attestation language.

### **AUTHORITY**

California Code of Regulations, Title 9, Division 1, Chapter 11, Subchapter 4, Article 1, Section 1849.112

United States Code Title 42, Code of Federal Regulations, Sections 438.604, 438.606, and 438.608

DMH Policy 508.01 "Safeguards for Protected Health Information"

### **REFERENCES**

State Department of Mental Health Notice 03-03, June 25, 2003, Change in Requirements for Certification of Medi-Cal Claims

### **ATTACHMENTS**

[Attachment I](#) [Mental Health Claim Certification form \(MH1982A\)](#)

[Attachment II](#) [Daily Service Log](#)

[Attachment III](#) [Group Service Log](#)

[Attachment IV](#) [Mental Health Plan Claim Certification for Program Managers](#)